

GAU 2152
#6
BT
5-21-03

TRANSMITTAL LETTER			Case No. 9683/98
Serial No. 10/037,293	Filing Date December 21, 2001	Examiner TBD	Group Art Unit 2152
Inventor(s) Shuji Sasaki et al.			
Title of Invention SETTLEMENT PROCESSING METHOD AND SETTLEMENT PROCESSING SYSTEM			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is First Supplemental Information Disclosure Statement (in dup), Form PTO 1449, citations B1-B3,
and return postcard.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ Applicant claims small entity status. See 37 CFR 1.27.
- ☐ Petition for a _____ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

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	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity		or	Other Than Small Entity	
Rate	Add'l Fee		Rate	Add'l Fee
x \$9=			x \$18=	
x 42=			x \$84=	
+ \$140=			+ \$280=	
Total add'l fee	\$		Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Tadashi Horie

Registration No. Tadashi Horie, Reg. No. 40,437
Attorney for Applicant
Customer No. 00757 - Brinks Hofer Gilson Lione

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on May 7, 2003.

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Date: May 7, 2003

Signature: *Tadashi Horie*

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, with sufficient postage, addressed to: Commissioner for Patents, Washington, D.C. 20231, on



May 7, 2003

Date of Deposit

Tadashi Horie, Reg. No. 40,437

Name of Applicant, Assignee or Registered Representative

Tamala Hara

Signature

May 7, 2003

Date of Signature

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Our Case No.: 9683/98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Shuji Sasaki et al.

Serial No.: 10/037,293

Filing Date: December 21, 2001

For: SETTLEMENT PROCESSING
METHOD AND SETTLEMENT
PROCESSING SYSTEM

))))))))))

Examiner: TBD

Group Art Unit No.: 2152

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FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this First Supplemental Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the

Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

FOREIGN PATENT DOCUMENTS

<u>Patent No.</u>	<u>Date</u>	<u>Country</u>
(1) 396314	10/2/2000	Taiwan
(2) WO 99/18533	4/15/1999	WIPO
(3) 357302	5/1/1999	Taiwan

Applicants advise the Examiner that an Office Action was issued to a counterpart Taiwanese patent application. The Office Action cites above foreign patent documents (1) and (3). A copy of the Office Action and its English translation are also enclosed. Above foreign patent documents (1) and (3) are in Chinese. Applicants are submitting foreign patent document (2), which is the corresponding PCT publication of foreign document (1). Applicants are also submitting an English translation of foreign document (3).

In accordance with 37 C.F.R. § 1.97(g),(h), this First Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This First Supplemental Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this First Supplemental Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be

deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

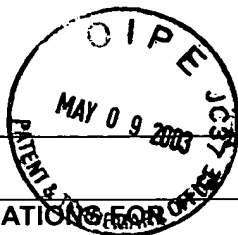
Applicant(s) respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,



Tadashi Horie
Registration No. 40,437
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE
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FORM PTO-1449	SERIAL NO. 10/037,293	CASE NO. 9683/98
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE December 21, 2001	GROUP ART UNIT 2152
(use several sheets if necessary)		APPLICANT(S): Shuji Sasaki et al.

REFERENCE DESIGNATION**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	B1 396314	10/2/2000	Taiwan		Yes
	B2 WO 99/18533	4/15/1999	WIPC		Yes
	B3 357302	5/1/1999	Taiwan		Yes

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small>

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EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.